

***COOKBOOK FOR CONTRACT SCOPE
PREPARATION***

**Contract and Grants Administration Unit
Division of Water Quality
State Water Resources Control Board**

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INTRODUCTION

This “cookbook” was developed to provide guidance to Contractors in preparing the Scope of Work and Budget for their contract and to minimize redrafts and the negotiation process. It is set up to show what is required for the various tasks/subtasks for a particular type of activity. For example, if you are writing a construction task, you should include, at a minimum, all of the subtasks or similar subtasks that are listed under the task for construction, incorporating the type of information and the level of detail.

Aside from required tasks, such as Project Administration and Draft and Final Project Report, the type of activity to be included in the Scope of Work will be determined by the proposal written to request the grant. The work proposed in the Grant Proposal, on which the grant was approved, must be translated into the final Scope of Work and Budget. Each project is unique so please keep this in mind when creating your tasks.

The following pages are titled by the type of activities you might be using in your scope of work. If an activity is not represented, refer to any of the pages to see the type of information and level of detail needed. Please note that languages in parentheses are provided to serve as examples only.

Some general hints not included in the Cookbook:

- ❖ Be sure to start all tasks/subtasks with an action verb.
- ❖ List all deliverables at the end of each Task (not subtask) and by subtask number.
- ❖ In the Schedule of Deliverable Due Dates, list each deliverable by subtask number with corresponding completion dates (mm/dd/yy).
- ❖ The Budget must include a Task Budget and a Line Item Budget. As a reminder, the Line Item Budget must contain resources for the applicant’s Project Director.
- ❖ Please remember that the State Water Resources Control Board will hold only the applicant (Prime Contractor) responsible for the tasks. Write the tasks with that in mind.

One-time Advance Payment Request

Task 4 One-time Advance Payment Requirements

- 4.1 Prepare a written justification for a one-time advance payment of up to 25% of the total contract amount. The written justification must contain the need for the advance payment and must justify the advance payment costs by category (ie., cash flow, equipment or supply purchases, advancing funds to the subcontractor to begin work). The written justification must contain a proposed time frame for accounting for the recoupment of the advance payment during the contract invoicing process. This recoupment schedule will be an approved written agreement between the Contractor and the Contract Manager and the agreed upon scheduled recoupment amounts will be deducted from future invoices. Submit the written justification to the Contract Manager for review and approval. Once the written advance payment justification has been approved by the Contract Manager, the Project Director will submit an invoice for the approved advance payment amount consisting of an original and two copies to the Contract Manager. All subsequent invoices must be in the format provided with the advance payment approval.
- 4.2 Set up a separate bank account for the advance payment (even for one-time purchase of equipment or land purchase).
- 4.3 Submit bank statements yearly or at the end of the reconciliation of the advance payment funds depending on the accounting schedule that details any interest earned on the account. All interest earned must be returned to the SWRCB via the Accounting Office **annually at the end of a fiscal year, as of the May 31 bank statement**. All checks must include the Program Name and the Contract # **and be remitted by June 10**.

Task Deliverables: 4.1 Written Justification with Recoupment Schedule, 4.2 Proof of separate bank account, and 4.3 Bank statements.

Tasks to be added to Watershed Subaccount Contracts (required):

Adjoining Landowner Notification

- x.1. Notify adjoining landowners, in writing, the scope of the project.
- x.2. If more than 200 landowners, notify the owners of record of the largest 200 adjoining parcels and publicize in a local newspaper of general circulation for 20 days.
- x.3. Notify the SWRCB's Project Representative when notification has occurred.

Task Deliverable: x.1 Notification letter, x.2 Copy of newspaper notice, x.3 Notification to SWRCB's Project Representative

NOTE: This is not the task for landowner access permission. If applicable, a contract applicant shall obtain written permission from the landowners of the parcel of land upon which the project is proposed to be carried out. The written permission shall expressly consent to the actions described in the proposal application. This step should be included under the respective task where the agreement would be necessary. **Do not include the task for written landowner agreements into this "Adjoining Landowner Notification" task.**

Project Assessment and Evaluation Plan (“monitoring and reporting plan” in Prop 13 legislation)

(Task to be added to Watershed Subaccount Contracts. Projects developing a Watershed Management Plan for \$200,000 or less, are exempt from this requirement.)

79080(g) A proponent of a project funded from the subaccount, except a grant recipient pursuant to subdivision (d), shall be required to submit to the board a [monitoring and reporting plan] that does all of the following:

- (1) Describes the baseline water quality of the waterbody impacted.
- (2) Describes the manner in which the proposed watershed restoration activities are implemented.
- (3) Determines the effectiveness of the watershed restoration activities in preventing or reducing pollution.
- (4) Determines, to the extent feasible, the changes in the pattern of flow in affected streams, including reduction of flood flows and increases in spring, summer, and fall flows that result from the implementation of the project.
- (5) Determines, to the extent feasible, the economic benefits resulting from changes determined pursuant to paragraph (3) and (4).

Task to be added to Nonpoint Subaccount Contracts:

79114(f) A proponent of a project funded from the subaccount shall be required to submit to the board a [monitoring and reporting plan] that does all of the following:

- (1) Identifies one or more nonpoint sources of pollution.
- (2) Describes the baseline water quality of the waterbody impacted.
- (3) Describes the manner in which the proposed practices or measures are implemented.
- (4) Determines the effectiveness of the proposed practices or measures in preventing or reducing pollution.

Task to be added to Coastal Nonpoint Subaccount Contracts:

79148.8(d) A proponent of a project funded from the subaccount shall be required to submit to the board a [monitoring and reporting plan] that does all of the following:

- (1) Identifies the nonpoint source or sources of pollution to be prevented or reduced by the project.
- (2) Describes the baseline water quality or quality of the environment to be addressed.
- (3) Describes the manner in which the project will be effective in preventing or reducing pollution and in demonstrating the desired environmental results.

Land Acquisition

NOTE: Provided for information only. Specific tasks would be unique to each project.

The Contractor approved the purchase contract at their Date Board Meeting. The purchase contract outlines the terms and conditions of escrow. Tasks associated with land acquisition are included below:

- 3.1 The Contractor shall open escrow for the purchase of the parcel on Date. Escrow instructions shall be generated. Escrow is anticipated to close on or before Date, therefore grant funding must be available prior to close of escrow.
- 3.2 Provide the escrow company with the purchase contract outlining the terms and conditions.
- 3.3 Within two weeks of opening escrow, the buyer Contractor, which will also be the title holder of the property, and the seller agree to execute and deliver a Memorandum of Agreement and a Release of Memorandum of Agreement to include the terms of escrow and the seller's restrictions during the term of the escrow, if any.
- 3.4 Provide escrow with the required deposit amount of ? dollars (\$?) along with vesting preferences and insurance information to ? Title in City.
- 3.5 Perform a Phase 1 Hazardous Waste Assessment to determine the possibility of any site toxins or environmental hazards. The contingency regarding inspections of the condition of the property terminates on Date.
- 3.6 Submit a copy of the independent appraisal prepared by Name of Appraiser.
- 3.7 Prepare and submit a copy of the in-house appraisal.
- 3.8 Processing of grant deeds shall occur as part of the escrow instructions, and the grant deed will be recorded when all escrow instructions have been completed and immediately after escrow closes on or before Date. If all of the acreage of the parcel is not purchased, the funds must be returned to the SWRCB.

Task Deliverables: 3.1 Escrow documents, 3.2 Purchase contract, 3.3 Agreement documents, 3.4 Insurance verification, 3.5 Inspection report, 3.6 Copy of independent appraisal, 3.7 Copy of in-house appraisal, 3.8 Copy of the grant deed

Task to be added to Watershed, Nonpoint and Coastal Nonpoint Subaccount Contracts:

If land is to be purchased with the Prop. 13 funds, a task must be added that lists getting land appraisals, one of which has to be an independent appraisal.

MEETINGS

- ❖ Purpose
 - ◆ [Insert an introductory statement to explain the reason for the task.
- ❖ How many/How often
 - ◆ Conduct _ (give a number) meetings on a quarterly/monthly (or other timeframe) basis.
- ❖ How noticed
 - ◆ Develop announcement (e.g., flyers and news releases) to advertise meeting.
 - ◆ Place announcement (e.g., news/magazine articles) in publication (e.g., newspapers/magazines) of general circulation and targeted groups.
 - ◆ E-mail notification to interested parties.
 - ◆ Internet site.
- ❖ Audience/Mailing List/Stakeholders
 - ◆ Solicit involvement of general public through announcement (e.g., flyers and new/magazine releases).
 - ◆ Develop mailing list from interested parties identified through general solicitation, stakeholder groups mailing list, target groups, or other groups of interest.
- ❖ Materials
 - ◆ Develop agenda and handouts for meetings.
 - ◆ Collect items such as informational pamphlets, pens, and other items for distribution (goody bags).
 - ◆ Develop “sign-in” (attendance list) for meeting participants.
- ❖ Minutes
 - ◆ Develop meeting minutes.

(MEETINGS, continued)

The following is a sample task for MEETINGS. It has been provided to assist when developing your task. Please **DO NOT** copy this task.

Task ?. Meetings

Several meetings will be held throughout the life of the contract to keep the public and interested parties informed of the project's development. The meetings will be organized around the completion of tasks and of upcoming tasks to be performed. The meetings will target specific interest groups but the public is welcome to come to all meetings.

- ?1 Set up biannual (January and July) meeting schedule. The schedule will be set up in conjunction with project partners such as Save the Cows and Moo Moo.
- ?2 Submit meeting notification to local media such as newspapers and magazines at least 30 days in advance of the scheduled meeting.
- ?3 Mail invitation to local stakeholders, Council Member, city residents, members of Cow Club at least 30 days in advance of the scheduled meeting. Transmit electronic notification to interested parties via e-mail at least 30 days in advance of the scheduled meeting where applicable.
- ?4 Prepare agenda listing subjects to be discussed and activities of meeting. The meeting agendas will provide in detail the subjects to be discussed and any activities that will take place.
- ?5 Collect and package "goody bags" to be distributed at meetings. The "goody bag" will include informational pamphlets, pens, paper, and T-shirt.
- ?6 Conduct meetings the third week of January and July at the Cow Lodge of Farm County.
- ?7 Write up meeting minutes. The write-up will include a list of attendees of each meeting and a brief summary of each meeting.

Task Deliverables: ?1 List of meetings, ?2 Copy of newspaper and magazine article, ?3 Copy of invitation to meeting attendees, ?4 Copy of Agenda, ?6 Copy of meeting minutes with list of attendees and summary.

ADVISORY COMMITTEES (TACs)

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ How solicited
 - ◆ Develop letters to various departments, agencies, and stakeholder groups to solicit members to serve on the TAC.
 - ◆ Put notice of solicitations on the web site.
 - ◆ Send letters to groups with technical expertise, such as _____, to serve on the TAC.
- ❖ Membership
 - ◆ Who? e.g., Recruit representatives from the County Planning Department, Natural Resources Conservation Service, Central Coast Regional Water Quality Control Board and any other representatives agreed upon by the Project Director and the Contract Manager to serve on the TAC.
 - ◆ How? e.g., Develop a mailing list/database including names, affiliations, contact information for the TAC.
- ❖ Roles and Responsibilities
- ❖ Meetings
 - ◆ How many?
 - ◆ How often?

EDUCATION AND OUTREACH

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ How noticed
 - ◆ Develop announcement (e.g., flyers, news articles) to distribute to (e.g., the adult community and high schools in the watershed).
 - ◆ Distribute announcements to (e.g., local high schools and to local businesses).
- ❖ Who?/Audience
 - ◆ Identify the audience, (e.g., students, landowners), depending on the type of outreach.
 - ◆ Develop a database with contact information or use an existing database.
- ❖ How Conducted?
 - ◆ Workshops (see “Workshop/Tours” page)
 - ◆ Citizens Monitoring (see “Citizens Monitoring” page)
 - ◆ Water Quality Sampling (see “Water Quality Sampling” page)
- ❖ Materials
 - ◆ Develop a slide presentation to (e.g., educate the high school students on the watershed).
 - ◆ Develop a questionnaire to solicit the knowledge gained by the participants.
 - ◆ Produce (e.g., monthly/semi-annual) newsletters to provide information to the general public regarding (e.g., watershed activities, problems, and achievements).
 - ◆ Develop brochures.

WORKSHOP/TOURS

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ How noticed
 - ◆ Develop flyers and news releases to announce workshop/tour for __ (reason/purpose).
 - ◆ Distribute flyers at (e.g., local environmental groups meetings).
 - ◆ Put news articles in newspapers of general circulation and in (e.g., environmental groups) newsletters.
- ❖ Audience/Mailing list
 - ◆ Solicit involvement from the general public through flyers and news releases.
 - ◆ Develop a mailing list from interested parties identified through general solicitation or from other stakeholder groups mailing lists.
- ❖ Materials
 - ◆ Develop agenda and handouts for workshops/tours.
- ❖ How many and how often
 - ◆ Conduct # of meetings at least (e.g., quarterly).
- ❖ Landowner Agreements
 - ◆ Obtain signed agreement from landowners to allow access to their property for the workshop/tour.
- ❖ Surveys/Questionnaires
 - ◆ Develop a survey/questionnaire to distribute to the participants to get their input as to the usefulness/effectiveness of the workshop/tour.

NOTE:

Contractor must ensure that parties providing transportation (private or commercial) have Transportation/Hazardous Insurance.

- ◆ Obtain and retain liability insurance forms/parental consent forms for participants.
- ◆ Obtain a copy of the liability insurance for parties providing transportation, if applicable.

WATER QUALITY SAMPLING

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ Monitoring Plan
 - ◆ If a monitoring plan was not developed as part of the QAPP task, include a task which states where the sampling is being done, how many samples will be taken, how often sampled, and what is being sampled. If photos are being taken, refer to the Photomonitoring documentation provided by the Program.
 - ◆ If a monitoring plan was developed and approved in conjunction with the QAPP task. Language should be included: "Conduct (water quality) sampling according to the approved monitoring plan developed in Task X."
- ❖ Landowner Agreements
 - ◆ If private property access is required, develop and obtain written agreements from the landowners to allow access.

For water quality sampling, the development of or identification of a Quality Assurance Project Plan must be included in the Scope of Work.

Quality Assurance Project Plan (if applicable)

Prepare and maintain a Quality Assurance Project Plan (QAPP). Language can be substituted to reference an approved existing QAPP. The QAPP shall be approved by the RWQCB or SWRCB QA Officer prior to the implementation of any sampling or monitoring activities. No monitoring shall occur prior to QAPP approval. Any costs related to monitoring data collected prior to and not supported by the approved QAPP will not be reimbursed.

Task Deliverables: Approved and Signed QAPP

NOTE: You can use an existing approved QAPP which has been/will be updated specific to the project.

In either case, the QAPP must be approved by the RWQCB or SWRCB QA officer.

CITIZENS MONITORING

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ Recruitment
 - ◆ Number to be recruited?
 - ◆ How will they be recruited?
 - ◆ Who: Stakeholder, Landowners, Students?
- ❖ Training
 - ◆ How many sessions.
 - ◆ Training materials and/or supplies.
 - ◆ When will training sessions be conducted (e.g., in spring and fall)?
- ❖ Work with Clean Water Team
 - ◆ Meet with representatives of the SWRCB Clean Water Team to discuss the Citizens Monitoring Program.
- ❖ Landowner Agreements
 - ◆ Obtain signed agreements from the landowners to allow access to their property to conduct monitoring, if needed.

DESIGN

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ Plans/Specifications/Maps
 - ◆ Develop the design of the project including the plans and specifications and a map showing where the project will be carried out.
 - ◆ Reference any county/city publication used in design preparation which specifies requirements which must be addressed. (Any publication used to prepare the design must be submitted as a task deliverable.)
 - ◆ State what materials will be used.
- ❖ Submit the draft design to the SWRCB's Project Representative for review and approval prior to implementation.
- ❖ Submit for approval by the permitting agency, i.e. the county, city, etc.

CONSTRUCTION

(This includes Demonstration Projects)

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ Construction Site Location
 - ◆ Include a subtask for identification of construction site(s). What criteria was used for selection?
- ❖ Landowner Agreements
 - ◆ If private property access is required, include a subtask to develop and obtain written agreements from the landowner(s).
- ❖ Construction
 - ◆ Include a subtask that directs the actual construction. The subtask should open with “Construct” and should provide a clear description of what will be constructed. Specify if construction is based on a design plan and note where the plan was developed.
- ❖ “As Built” Drawings
 - ◆ Include a subtask for development of “as built” drawings at the end of construction. Explain what the “as built” drawings will include.
- ❖ Pre- and Post-Construction Photomonitoring
 - ◆ For construction contracts, pre- and post-construction photomonitoring are required. Include a subtask for conducting photomonitoring in accordance with the Photomonitoring Documentation that will be provided by the Program.

DRAFT AND FINAL DOCUMENTS

Draft and Final Documents (other than the Draft and final Project Report)

- ❖ Purpose
 - ◆ Include statement in the introductory paragraph of the task to explain the reason for the task.
- ❖ Compile all related information developed in previous tasks into a draft document.
- ❖ Submit document for review and comment to _____.
- ❖ Explain how the document will be made available or distributed.
- ❖ Provide comment period.
- ❖ Incorporate comments to produce a draft final document.
- ❖ Conduct workshop(s) or meeting(s) to discuss and receive comments.
- ❖ Submit draft final document to _____ for final approval and adoption.